

RECORDS RETENTION
FOR PUBLIC COLLEGES
AND UNIVERSITIES IN
OHIO

A MANUAL

INTRODUCTION

Records Retention for Public Colleges and Universities in the State of Ohio: A Manual

...to determine the minimum retention and disposition of records as required by law and sensible practice.



RETENTION ABBREVIATIONS



absolutely crucial to our business operation that will need to be recreated from backup copies if the

RECORDS -048TdC)tn22 -04 6059CBM6 333 gETq0 -006120626reW*n/P AMCID 1 BDC BT05 g/TT1 139TT6



NON-RECORD

DOES NOT



CONCLUSION



ACKNOWLEDGEMENTS

Records Retention for Public Colleges and Universities in Ohio:

A Manual

Retention Manager 3

Retention Manager 3

Retention Manager 3



Model Retention Schedule

Accounting

Record Series	Retention	Retention Rule	IUC Code
<i>Accounts Payable</i> Amounts owed on open account for goods or services received.	4	ACC1000	IUC-ACC-00-01
<i>Accounts Payable</i> Invoices Bill for goods or services received.	4	ACC1000	IUC-ACC-00-02
<i>Accounts Payable</i> Ledgers	4	ACC1000	IUC-ACC-00-03
<i>Accounts Payable</i> Vouchers	4	ACC1000	IUC-ACC-00-04
<i>Accounts Receivable</i> Amounts due from others on open accounts as a result of providing goods or services.	4	ACC1000	IUC-ACC-10-01

Model Retention Schedule

Accounting

Record Series	Retention	Retention Rule	IUC Code
<i>Annuity Records</i>	4	ACC1000	IUC-ACC-00-05
Statement of payroll deduction for employees' annuity plans.			
<i>Bad Debt Actions</i>	4	FIN6000	IUC-ACC-10-08
Overdue accounts, such as library fines, parking tickets, loans, payment for services rendered.			
<i>Balance Sheets</i>	4	ACC3000	IUC-ACC-30-02
A report of institutional assets, liabilities, and equities. A periodic report, not the year-end report.			
<i>Cash Books</i>	4	ACC1000	IUC-ACC-10-02
A report of institutional assets, liabilities, and equities. A periodic report, not the year-end report.			
<i>Cash Disbursement Journals</i>	4	ACC1000	IUC-ACC-00-06
A record of institution's cash transactions showing a running balance.			

Model Retention Schedule

Record Series

Retention

Retention Rule

IUC Code

Model Retention Schedule

Accounting

Record Series

Retention

Retention Rule

IUC Code

Model Retention Schedule

Accounting

Record Series	Retention	Retention Rule	IUC Code
<p><i>Journals</i></p> <p>The record in which financial transactions are first recorded before being posted as a debt or credit to an account in a ledger. A chronological documentation of transactions.</p>	4	ACC3000	IUC-ACC-30-06
<p><i>Payroll</i></p> <p>Change Report: Classified Staff</p> <p>Bi-weekly listings of payroll adjustments processed through Personnel Services concerning full-time or part-time employee status, i.e., new employee, promotion, reclassification, leave of absence, lateral transfers, and removals. Report arranged by pay period.</p>	4	ACC1000	IUC-ACC-40-02
<p><i>Payroll</i></p> <p>Checks</p> <p>Checks paid employees for services they perform.</p>	4	FIN1000	IUC-ACC-40-01
<p><i>Petty Cash Records</i></p>	4	ACC1000	IUC-ACC-00-08
<p><i>Receipts</i></p>	4	ACC1000	IUC-ACC-10-06

Model Retention Schedule

Accounting

Record Series

Retention

Retention Rule

IUC Code

Registers

4

ACC1000

IUC-ACC-30-07

Requisitions

IUC-ACC-00-09

Model Retention Schedule

Accounting

Record Series

Retention

Retention Rule

IUC Code

Student Accounting Records

4

ACC1000

IUC-ACC-50-02

Canceled Registration Files

Record of canceled registrations, including amount owed, reason, etc.

Model Retention Schedule

Accounting

Record Series	Retention	Retention Rule	IUC Code
<i>Student Accounting Records</i> Financial Aid Disbursement Records Statement by individual of award amounts disbursed. Contains name, type, and amount of award.	4	ACC1000	IUC-ACC-50-07
<i>Student Accounting Records</i> Insurance Records Record of students enrolled in university or college health program.	4	ACC1000	IUC-ACC-50-08
<i>Student Accounting Records</i> Tuition Remission Applications Record of tuition waiver for employees and dependents.	4	ACC1000	IUC-ACC-50-09
<i>Subsidiary Ledgers</i> A book of accounts of an institution.	4	ACC1000	IUC-ACC-30-08
<i>Telephone Expense Records</i> Periodic reports of long distance and local phone charges.	4	ACC1000	IUC-ACC-99-01

Model Retention Schedule

Accounting

Record Series	Retention	Retention Rule	IUC Code
<i>Travel Expenses</i>	4	ACC1000	IUC-ACC-00-11
Record of expenses incurred on official travel. Used to receive reimbursement.			
<i>Unemployment Insurance Payments</i>	4	ACC1000	IUC-ACC-00-12
<i>Vending Commission Income Records</i>	4	ACC1000	IUC-ACC-99-02
Record of money received as commission on vending contracts.			
<i>Voucher Register</i>	4	ACC1000	IUC-ACC-00-13
A journal in which accounts payable and their payments are recorded.			
<i>Vouchers</i>	4	ACC1000	IUC-ACC-00-14
A record of cash disbursement used to establish control over expenditures and ensuring appropriate approval for each transaction.			

Model Retention Schedule

Accounting

Record Series

Retention

Retention Rule

IUC Code

Workers Compensation Payments

4

ACC1000

IUC-ACC-40-03

Model Retention Schedule

Education & Student

Record Series	Retention	Retention Rule	IUC Code
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<i>Academic Grievance Files</i>	ACT+6	LEG4000	IUC-EDU-40-10
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Files documenting grievances of students against faculty members.

Review for continuing administrative and historical value and potential transfer to institutional Archives.

<i>Admissions</i>	6	LEG5000	IUC-EDU-10-20
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Applicant Flow Data File

Statistical information, percentages dealing with race, religion, sex, etc.

<i>Admissions</i>	ACT+1	EDU1010	IUC-EDU-10-09
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Applicants who do Matriculate

Advanced Placement Records

Forms and records supporting consideration for advanced placement in course(s) where no credit is granted.

ACT+1 EDU1010

Admissions

Applicants who do Matriculate

Applications for Admiss sc(triutdvance sc(triuTT3 1 Tf0.0011 Tc 0 Tw 43.055 3.792 Td(9UC-EDU-10-09)Tj010009 T

Model Retention Schedule

Education & Student

Record Series	Retention	Retention Rule	IUC Code
<p><i>Admissions</i></p> <p>Applicants who do Matriculate</p> <p>Entrance Examination & Placement Test Reports</p> <p>Standardized test scores related to admission to the institution and placement test scores.</p>	ACT+1	EDU1010	IUC-EDU-10-03
<p><i>Admissions</i></p> <p>Applicants who do Matriculate</p> <p>Letters of Recommendation</p> <p>Letters of reference supporting application to the institution.</p>	ACT+1	EDU1010	IUC-EDU-10-04
<p><i>Admissions</i></p> <p>Applicants who do Matriculate</p> <p>Medical Records</p> <p>Medical records related to application to the institution.</p>	ACT+1	EDU1010	IUC-EDU-10-05
<p><i>Admissions</i></p> <p>Applicants who do Matriculate</p> <p>Personalized Recruitment Materials</p> <p>Student-specific letters related to encouraging potential student to attend the institution.</p> <p><i>VA regulations require that all recruitment materials be retained 3 years.</i></p>	ACT+3	EDU1020	IUC-EDU-10-06
<p><i>Admissions</i></p> <p>Applicants who do Matriculate</p> <p>Transcripts</p> <p>High School</p> <p><i>Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant.</i></p>	ACT+1	EDU1010	IUC-EDU-10-07

Model Retention Schedule

Education & Student

Record Series

Retention

Retention Rule

IUC Code

Admissions

IUC-EDU-10-08

Applicants who do Matriculate

Transcripts

Other Institutions of Higher Learning

Records of courses taken at other post-secondary institutions and documents supporting prior learning, including credit for military training.

Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant.

Model Retention Schedule

Education & Student

Record Series	Retention	Retention Rule	IUC Code
<p><i>Admissions</i></p> <p>Applicants who do not Matriculate</p> <p>Access To See Letters of Recommendation Waiver</p> <p>Student waivers for rights of access to see Letters of Recommendation for Admission.</p>	ACT+3	EDU1030	IUC-EDU-10-13
<p><i>Admissions</i></p> <p>Applicants who do not Matriculate</p> <p>Advanced Placement Records</p> <p>Forms and records supporting consideration for advanced placement in course(s) where no credit is granted.</p>	1	EDU1100	IUC-EDU-15-09
<p><i>Admissions</i></p> <p>Applicants who do not Matriculate</p> <p>Applications for Admission or Readmission</p> <p>Forms requesting admission or readmission to the institution.</p>	1	EDU1100	IUC-EDU-15-01
<p><i>Admissions</i></p> <p>Applicants who do not Matriculate</p> <p>Correspondence</p> <p>Forms requesting admission or readmission to the institution.</p>	1	EDU1100	IUC-EDU-15-02
<p><i>Admissions</i></p> <p>Applicants who do not Matriculate</p> <p>Entrance Examination & Placement Test Reports</p> <p>Standardized test scores related to admission to the institution and placement test scores.</p>	1	EDU1100	IUC-EDU-15-03

Model Retention Schedule

Education & Student

Record Series	Retention	Retention Rule	IUC Code
<p><i>Admissions</i></p> <p>Applicants who do not Matriculate</p> <p>Transcripts</p> <p>High School</p> <p><i>Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant.</i></p>	1	EDU1100	IUC-EDU-15-07
<p><i>Admissions</i></p> <p>Applicants who do not Matriculate</p> <p>Transcripts</p> <p>Other Institutions of Higher Learning</p> <p>Records of courses taken at other post-secondary institutions and documents supporting prior learning, including credit for military training.</p> <p><i>Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant.</i></p>	1	EDU1100	IUC-EDU-15-08
<p><i>Classes</i></p> <p>Audit Authorizations</p> <p>Approval forms to audit a class.</p>	ACT+3	EDU1015	IUC-EDU-35-03
<p><i>Classes</i></p> <p>Change of Course Schedule (Add/Drop)</p>	ACT+1	EDU1010	IUC-EDU-35-06

Model Retention Schedule

Education & Student

Record Series

Retention

Retention Rule

IUC Code

Classes

ACT+1

EDU1010

IUC-EDU-35-09

Class Schedules (Students)

Lists of classes student took a given term.

Model Retention Schedule

Education & Student

Record Series	Retention	Retention Rule	IUC Code
<p><i>Classes</i></p> <p>Registration/Enrollment Forms</p>	ACT+3	EDU1015	IUC-EDU-35-01
<p><i>Classes</i></p> <p>Withdrawal Authorizations</p>	ACT+3	EDU1015	IUC-EDU-35-07
<p><i>Curriculum</i></p> <p>Catalogs</p> <p>Official course bulletins of the institution.</p> <p><i>Review for continuing historical value and potential transfer to institutional Archives.</i></p>	IND	EDU3000	IUC-EDU-30-02
<p><i>Curriculum</i></p> <p>Development Files</p> <p>Files documenting approval of new programs and degrees.</p> <p><i>Review for continuing historical value and potential transfer to institutional Archives.</i></p>	IND	EDU3000	IUC-EDU-30-01
<p><i>Curriculum</i></p> <p>Schedule of Classes (Institutional)</p> <p>Schedule of classes offered each term by the institution.</p> <p><i>Review for continuing historical value and potential transfer to institutional Archives.</i></p>	IND	EDU3000	IUC-EDU-30-03

Model Retention Schedule

Education & Student

Record Series

Retention

Retention Rule

IUC Code

Financial Aid

IUC-EDU-20-20

General

Non-Recipient Files

Model Retention Schedule

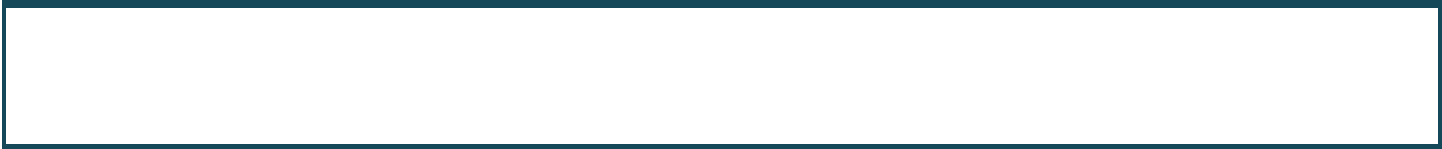
Education & Student

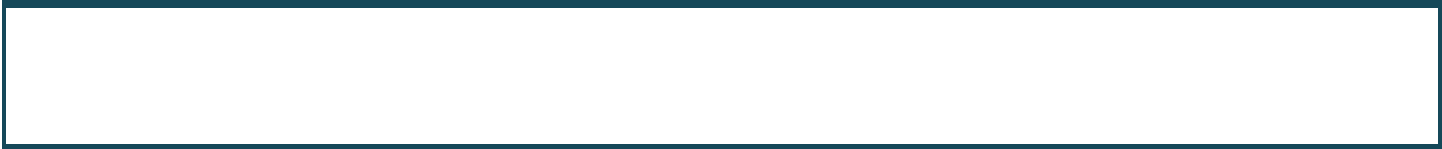
Record Series	Retention	Retention Rule	IUC Code
<i>Grades</i> Change of Grade Forms (Update Documents)	IND	EDU1000	IUC-EDU-35-13
<i>Grades</i> Faculty Grade Report (Grade or narrative) Copy of grade reports as submitted to registrar by faculty.	IND	EDU1000	IUC-EDU-35-10
<i>Grades</i> Grade Reports (Registrar's Copies) Copy of grade report as sent to student. Grade or narrative.	ACT+1	EDU1010	IUC-EDU-35-11
<i>Grades</i> Grade Statistics <i>Review for continuing administrative and historical value and potential transfer to institutional Archives.</i>	IND	EDU3000	IUC-EDU-35-12
<i>Graduation</i> Applications for Graduation	ACT+1	EDU1010	IUC-EDU-35-20

Model Retention Schedule

Education & Student

Record Series	Retention	Retention Rule	IUC Code
<i>Graduation</i> Commencement Programs	IND	EDU3000	IUC-EDU-35-23
<i>Review for continuing administrative and historical value and potential transfer to institutional Archives.</i>			
<i>Graduation</i> Graduation Authorizations	ACT+1	EDU1010	IUC-EDU-35-21
Documents certifying completion of degree requirements.			
<i>Graduation</i> Graduation Lists	IND	EDU3000	IUC-EDU-35-22
<i>Review for continuing administrative and historical value and potential transfer to institutional Archives.</i>			
<i>Head Start</i>	ACT+5	LEG2000	IUC-EDU-00-30
Documents of Head Start meetings and grantee level matters.			
<i>IPEDS Report</i>	IND	EDU3000	IUC-EDU-00-04
Integrated Post-secondary Education Data System			





Record Series

Retention

Retention Rule

IUC Code

Model Retention Schedule

Education & Student

Record Series	Retention	Retention Rule	IUC Code
<i>Statistics</i> Degree	IND	EDU3000	IUC-EDU-00-01
<i>Statistics</i> Enrollment	IND	EDU3000	IUC-EDU-00-02
<i>Statistics</i> Racial/Ethnic	IND	EDU3000	IUC-EDU-00-03
<i>Student Disciplinary Files</i> Files maintained by student affairs on students who have been accused of disciplinary violations.	ACT+6	LEG4000	IUC-EDU-40-01
<i>Student Disciplinary Files</i> Academic Action Notifications Communications notifying students of dismissal, academic probation, etc.	ACT+1	EDU1010	IUC-EDU-40-04

Model Retention Schedule

Education & Student

Record Series	Retention	Retention Rule	IUC Code
<p><i>Student Disciplinary Files</i> Requests for Formal Hearings</p>	ACT+3	EDU1030	IUC-EDU-40-02
<p><i>Student Disciplinary Files</i> Student Statements Regarding Hearing Panel Decisions Student statements on content of records regarding hearing panel decisions.</p>	ACT+3	EDU1030	IUC-EDU-40-05
<p><i>Student Disciplinary Files</i> Written Decisions of Hearing Panels</p>	ACT+3	EDU1030	IUC-EDU-40-03
<p><i>Student Records</i> Academic Records Record of academic work pursued, including: grades, course evaluations, competency assessments, etc.</p>	IND	EDU1000	IUC-EDU-35-30
<p><i>Student Records</i> College or Departmental Office Files Files maintained in individual college and department offices on students enrolled in that college or department. Includes transcripts, letters of recommendation, etc. Includes students who have graduated, actively enrolled students, and students who are no longer actively enrolled.</p>	ACT+1	EDU1010	IUC-EDU-35-34

Model Retention Schedule

Education & Student

Record Series	Retention	Retention Rule	IUC Code
<p><i>Student Records</i></p> <p>Continuing Education</p> <p>Files include two types of records: students enrolled in special interest courses, and students enrolled in professional certification programs.</p>	ACT+3	EDU1015	IUC-EDU-35-35
<p><i>Student Records</i></p> <p>Correspondence</p> <p>Student-specific correspondence (other than admissions).</p>	ACT+1	EDU1010	IUC-EDU-35-31
<p><i>Student Records</i></p> <p>Program Requirement Modification</p> <p>Change of major forms; degree requirement waiver or substitution authorization.</p>	ACT+1	EDU1010	IUC-EDU-35-33
<p><i>Student Records</i></p> <p>Transcript Requests (other than student requested)</p>	ACT+3	EDU1030	IUC-EDU-35-36
<p><i>Student Records</i></p> <p>Veterans Administration Records and Correspondence</p>	ACT+3	EDU1020	IUC-EDU-35-32

Model Retention Schedule

Education & Student

Record Series	Retention	Retention Rule	IUC Code
<i>Tuition and Fee Schedule</i>	IND	EDU3000	IUC-EDU-00-06

Listing of fee charges for each term by an institution.

Model Retention Schedule

Environmental

Record Series	Retention	Retention Rule	IUC Code
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<i>Environmental Monitoring Records</i>	5	ENV1000	IUC-ENV-00-01
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<i>Radioactive Materials</i>	IND	ENV2010	IUC-ENV-00-02
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Transportation Records

DOT transfer record; Authorization for shipment of RAM; and Off-site transfers.

<i>Radioactive Materials</i>	ACT+3	LEG5020	IUC-ENV-00-03
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Waste Records

RAM use cards, specific use, and disposal information.

Model Retention Schedule

Finance

Record Series

Retention

Retention Rule

IUC Code

Annual Financial Report

IUC-FIN-00-01

Consolidated year-end report of financial situation showing assets and liabilities. Usually broken down by major funding areas, such as academic and student services areas.

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Model Retention Schedule

Finance

Record Series	Retention	Retention Rule	IUC Code
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<i>Bank Statements</i>	4	FIN1000	IUC-FIN-10-03
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Periodic statement of bank balances.

<i>Bids</i>	ACT+5	FIN8010	IUC-FIN-20-01
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Accepted

For purchases.

<i>Bids</i>	3	FIN8000	IUC-FIN-20-02
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Rejected

For purchases.

<i>Bond Registers</i>	ACT+6	FIN5000	IUC-FIN-30-01
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Listing of bonds sold, usually for building projects, showing purchaser, date redeemed, interest due, etc.

<i>Budget</i>	ACT+1	FIN2000	IUC-FIN-00-04
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Institutional

Final, approved, yearly budget for institution, usually in printed form.

Review for continuing historical value and potential transfer to institutional Archives

Model Retention Schedule

Finance

Record Series	Retention	Retention Rule	IUC Code
<i>Budget</i> Planning Documents Budget requests, including program plans for coming year, usually by cost center. <i>Review for continuing historical value and potential transfer to institutional Archives</i>	ACT+1	FIN2000	IUC-FIN-00-05
<i>Canceled Checks</i>	4	FIN1000	IUC-FIN-10-04
<i>Check Register</i> Book or original entry for all cash disbursements paid by check.	4	FIN1000	IUC-FIN-10-05
<i>Delivery Slips</i> Documents sent with purchased goods indicating item(s) shipped.	3	FIN8020	IUC-FIN-20-04
<i>Endowment Fund Reports</i>			

Model Retention Schedule

Finance

Record Series

Retention

Retention Rule

IUC Code

Endowment Fund Reports

IUC-FIN-30-03

Periodic

Model Retention Schedule

General
Administrative

Record Series	Retention	Retention Rule	IUC Code
<i>Accreditation Files</i>	4	ADM3010	IUC-ADM-10-01
University, college or department files documenting accreditation review by accrediting agencies. <i>Review for continuing historical value and potential transfer to institutional Archives.</i>			
<i>Bookstore Management Documentation</i>	4	ADM3010	IUC-ADM-40-01
Including buy-back records, cash drawer sign-out sheets, cashier balancing forms, charge forms, mark-up/mark-down sheets, merchandise return records, and special orders.			
<i>Input Documents</i>	SUP	ADM9905	IUC-ADM-00-03
Copies of records or forms designed and used solely for data input and control.			
<i>Organizational Charts</i>	ACT+10	ADM3000	IUC-ADM-00-04
<i>Review for continuing historical value and potential transfer to institutional Archives.</i>			
<i>Pre-School Program Attendance Records</i>	ACT+6	LEG4000	IUC-ADM-50-01
Pre-School Attendance and Emergency Sheets.			

Model Retention Schedule

General
Administrative

Record Series

Retention

Retention Rule

IUC Code

Pre-School Program

IUC-ADM-50-02

Children's Files

Includes screening evaluation forms, contracts, parental

Model Retention Schedule

General
Administrative

Record Series

Retention

Retention Rule

IUC Code

University Governance Files

IUC-ADM-00-05

Files of minutes of board of directors - n084 - nT2UTc y79mm(i)6(t)10(t)10(e)6lester59(anc groa)-5(u)5ps dio2(cudm)s fl rn59(i)-06(n

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Record Series

IUC Code

Model Retention Schedule

Record Series

Retention

Retention Rule

IUC Code

Model Retention Schedule

Human Resources

Record Series	Retention	Retention Rule	IUC Code
<p><i>Collective Bargaining Agreements</i></p> <p><i>Review for continuing administrative or historical value and potential transfer to institutional Archives.</i></p>	ACT+5	LEG2000	IUC-HR-20-01
<p><i>Department Assistance File</i></p> <p>Classified Staff</p> <p>Correspondence documenting Personnel Office services to university or college departments regarding classified staff positions.</p>	1	ADM9900	IUC-HR-20-16
<p><i>Employment</i></p> <p>Alien Certification Files</p> <p>Records of employee requests made to the Department of Labor and Immigration and Naturalization for work certification. In addition to certification, the files include transcripts, letters of reference, resume and other pertinent documentation. Files arranged alphabetically.</p>	6	LEG5000	IUC-HR-40-15
<p><i>Employment</i></p> <p>Classified Staff</p> <p>Applicant Card Files</p> <p>Reference card file that lists name, address, telephone number, date of application, classification of individuals who have applied for classified positions.</p>	3	PER2000	IUC-HR-40-08
<p><i>Employment</i></p> <p>Classified Staff</p> <p>Application Files</p> <p>Includes application form, resume, test results, referral and interview data.</p>	3	PER2000	IUC-HR-40-07

Model Retention Schedule

Human Resources

Record Series	Retention	Retention Rule	IUC Code
<p><i>Employment</i></p> <p>Classified Staff</p> <p>Canceled Position File</p> <p>Application forms, correspondence sent and received concerning positions that have been canceled.</p>	3	PER2000	IUC-HR-40-11
<p><i>Employment</i></p> <p>Classified Staff</p> <p>Certification Files</p> <p>Record of employees who have attained certification in their classification. May include log book and printouts.</p>	ACT+3	PER5010	IUC-HR-40-09
<p><i>Employment</i></p> <p>Classified Staff</p> <p>Personnel Requisitions</p> <p>Departmental request placed whenever a position within the department becomes vacant.</p>	3	PER2000	IUC-HR-40-06
<p><i>Employment</i></p> <p>Classified Staff</p> <p>Selection Criteria Form</p> <p>Form providing an explanation as to why a person was or was not hired for a university or college position.</p>	3	PER2000	IUC-HR-40-10
<p><i>Employment</i></p> <p>Faculty</p> <p>Application Files - Non-hires</p> <p>Contains application, correspondence, resumes, etc. from applicants for positions.</p>	3	PER2000	IUC-HR-40-03

Model Retention Schedule

Human Resources

Record Series	Retention	Retention Rule	IUC Code
<p><i>Employment</i></p> <p>Faculty</p> <p>Declinations Files</p> <p>Contracts, recommendations, letters of people who have declined positions.</p>	3	PER2000	IUC-HR-40-02
<p><i>Employment</i></p> <p>Faculty</p> <p>Search Committee</p> <p>Records of individuals who applied or interviewed for positions for which a committee was formed. Files contain position authorization forms, job descriptions, search committee minutes, applicant credentials, correspondence, authorization to hire forms.</p>	3	PER2000	IUC-HR-40-01
<p><i>Employment</i></p> <p>Residence Hall Advisers</p> <p>Not Selected</p> <p>Files on candidates not selected as residence hall advisers.</p>	3	PER2000	IUC-HR-40-13
<p><i>Employment</i></p> <p>Residence Hall Advisers</p> <p>Selected</p> <p>Files on candidates selected for employment as residence hall advisers.</p>	ACT+6	PER3000	IUC-HR-40-12
<p><i>Employment</i></p> <p>Staff</p> <p>Applicant Files</p> <p>Resumes on file.</p>	3	PER2000	IUC-HR-40-05

Model Retention Schedule

Human Resources

Record Series	Retention	Retention Rule	IUC Code
<p><i>Employment</i></p> <p>Staff</p> <p>Recruitment/Search</p> <p>Staff search files. May contain position authorization forms, job descriptions, minutes, applicants' credentials, search chronologies, authorization to hire forms, correspondence.</p>	3	PER2000	IUC-HR-40-04
<p><i>Employment</i></p> <p>Student</p> <p>Summer Contracts</p> <p>Flyers for on- and off-campus employment opportunities.</p>	ACT	REF0000	IUC-HR-40-14
<p><i>Employment Forms</i></p> <p>1099</p> <p>Federal form used to report salaries, wages, and tips of temporary employees.</p>	6	LEG5000	IUC-HR-50-01
<p><i>Employment Forms</i></p> <p>I-9 (Student)</p> <p>Federal employment eligibility verification for on-campus student employees.</p>	ACT+3	LEG5040	IUC-HR-50-02
<p><i>Employment Forms</i></p> <p>Payroll Deduction Authorizations</p> <p>All forms used to authorize deductions for charitable organizations, credit unions, union dues, U.S. Savings Bonds, etc.</p>	ACT+6	PER1030	IUC-HR-50-05

Model Retention Schedule

Human Resources

Record Series	Retention	Retention Rule	IUC Code
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<i>Employment Forms</i>	6	LEG5000	IUC-HR-50-03
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W-2

Federal form reporting salaries, wages, and tips for each employee to the IRS.

<i>Employment Forms</i>	ACT+6	PER1030	IUC-HR-50-04
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W-4

Forms completed by employee showing federal tax withholding exemptions.

<i>Faculty Employment Reports</i>			IUC-HR-20-27
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Activity & Service

Records for the academic year and each term listing teaching and advisory assignments, research, administrative duties and public service. Data is included for full-time and part-time faculty and graduate assistants. Reports printed either alphabetically by name of faculty member or by department.

Review for continuing administrative or historical value and potential transfer to institutional Archives.

Model Retention Schedule

Human Resources

Record Series	Retention	Retention Rule	IUC Code
<p><i>Garnishment Documentation</i></p> <p>Faculty</p> <p>Contains copies of court orders, pertinent employee data, computation data, employee acknowledgement forms, IRS notices of levy, and correspondence regarding employee garnishment cases.</p>	ACT+3	LEG5030	IUC-HR-40-40
<p><i>Garnishment Documentation</i></p> <p>Staff</p> <p>Contains copies of court orders, pertinent employee data, computation data, employee acknowledgement forms, IRS notices of levy, and correspondence regarding employee garnishment cases.</p>	ACT+3	LEG5030	IUC-HR-40-41
<p><i>Hazardous Materials</i></p> <p>Exposure Documentation</p>	IND	PER4030	IUC-HR-30-10
<p><i>Hazardous Materials</i></p> <p>Exposure Documentation</p> <p>Radioactive Materials</p> <p>Files of monthly reports of persons exposure to Radioactive Materials.</p>	IND	PER4030	IUC-HR-30-11
<p><i>Hazardous Materials</i></p> <p>Exposure Documentation</p> <p>Radioactive Materials</p> <p>Incident Report</p> <p>Report of Radioactive Materials Incident.</p>	IND	PER4030	IUC-HR-30-12

Model Retention Schedule

Human Resources

Record Series	Retention	Retention Rule	IUC Code
<p><i>Hazardous Materials</i></p> <p>Radiation Safety Workers</p> <p>Includes training records, exposure records, applications and authorizations, documents of Authorized Users Lab; Specific RW Training/Interview; Emergency Notification, and Declaration of Pregnancy forms.</p>	IND	PER4030	IUC-HR-30-13
<p><i>Hazardous Materials</i></p> <p>Radioactive Materials Authorized Users</p> <p>Includes applications for non-human use of RM; Statement of prior Training and Experience; Authorization for Internal Transfer of Material between AUs; Room Surveys; Application for Clinical Use of RAM; Emergency Notification; Application for Investigational Human Use of RAM.</p>	IND	PER4030	IUC-HR-30-14
<p><i>Layoff Documentation</i></p> <p>Classified Staff</p> <p>File contains printouts, rosters, and correspondence documenting university or college layoffs. Pertinent employee data, date of hire, classification, department, and retention points (performance) are included.</p>	5	PER3010	IUC-HR-40-50
<p><i>Leave Record</i></p> <p>Classified Staff</p> <p>Forms used to document sick leave and vacation leave. Includes hiring date, longevity date, amount of sick leave and vacation leave accrued.</p>	5	PER3010	IUC-HR-00-03
<p><i>Leave Record</i></p> <p>Faculty</p> <p>Vacation and sick leave earned and used.</p>	ACT+6	PER3000	IUC-HR-00-01

Model Retention Schedule

Human Resources

Record Series	Retention	Retention Rule	IUC Code
<p><i>Leave Record</i></p> <p>Staff</p> <p>Forms used to document sick leave and vacation leave. Includes hiring date, longevity date, amount of sick leave and vacation leave accrued.</p>	5	PER3010	IUC-HR-00-02
<p><i>Ohio Board of Regents Annual FTE Report</i></p> <p>Annual printout required by the Ohio Board of Regents documenting full-time equivalent staffing levels. The summary of the inventory is sent to the Ohio Board of Regents.</p> <p><i>Review for continuing administrative or historical value and potential transfer to institutional Archives.</i></p>	1	ADM9900	IUC-HR-20-20
<p><i>Performance Evaluation</i></p> <p>Classified Staff</p> <p>File contains annual printouts and log books, with such information as name, Social Security Number, date of hire, classification, supervisory, mid- and end-probationary dates, and department, and university or college employee performance evaluations.</p>	5	PER3010	IUC-HR-40-35
<p><i>Performance Evaluation</i></p> <p>Classified Staff</p> <p>Reclassification Files</p> <p>Record of university or college employee reclassification with accompanying job audit reviews, audit appeals, position description questionnaires, correspondence and final decision documentation.</p>	5	PER3010	IUC-HR-40-36
<p><i>Performance Evaluation</i></p> <p>Faculty</p> <p>Promotion & Tenure Files</p> <p>Recommendations, evaluations, materials submitted for promotion or tenure. Tenure and promotion recommendations (approval or denial) and pertinent correspondence maintained in permanent personnel file.</p> <p><i>Review for continuing administrative or historical value and potential transfer to institutional Archives.</i></p>	5	PER3010	IUC-HR-40-31

Model Retention Schedule

Human Resources

Record Series

Retention

Retention Rule

IUC Code

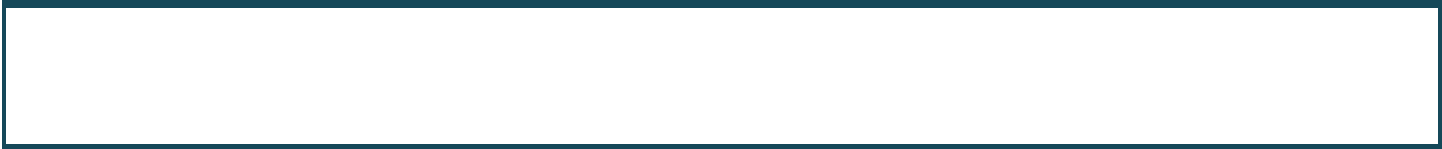
Performance Evaluation

IUC-HR-40-30

Faculty

Promotion & Tenure Policy

Copy of departmental guidelines, policies, procedures,



Record Series

Retention

Retention Rule

IUC Code

Model Retention Schedule

Human Resources

Record Series

Retention

Retention Rule

IUC Code

Personnel Files

IUC-HR-40-21

Staff

Employment record maintained for full-time and part-time university or college contract employees. Files can contain position descriptions, applications, letters of appointment or change, personnel data, notice of salary rate, copies of birth certificate, annual contracts, performance evaluations, PERS forms, previous state service forms, Social Security card, reclassification notices, letters of commendation or reprimand, publications, evidence of continuing education, transfers, leave of absence requests, payroll forms, vacation and sick leave reports, resignations, termination notices.

Model Retention Schedule

Human Resources

Record Series

Retention

Retention Rule

IUC Code

Model Retention Schedule

Human Resources

Record Series	Retention	Retention Rule	IUC Code
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<i>Public Employees Retirement System (PERS) File</i>	ACT+6	PER1040	IUC-HR-00-04
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Staff

Includes copies of retirement applications documenting pertinent personal, spouse, and beneficiary data. Working papers and correspondence are included.

<i>Public Employees Retirement System (PERS) Log</i>	ACT+6	PER1040	IUC-HR-00-07
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Classified Staff

Record of university or college classified employees and their date of retirement and address.

<i>Public Employees Retirement System (PERS) Log</i>	ACT+6	PER1040	IUC-HR-00-06
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Staff

Record of university or college classified employees and their date of retirement and address.

<i>State Classification File</i>	SUP	MIS1010	IUC-HR-20-14
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Classified Staff

Lists of classification by pay range as directed by the State Department of Administrative Services.

<i>Super Bill Files</i>			IUC-HR-30-02
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Record given to each person



Model Retention Schedule

Human Resources

Record Series	Retention	Retention Rule	IUC Code
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Unemployment Compensation

SUP

MIS1010

IUC-HR-50-21

Log

Record of unemployment compensation cases.

Unemployment Compensation Documentation

ACT+6

LEG4000

IUC-HR-50-20

Consolidated file listing all employees (classified, contract and faculty) for whom an unemployment claim has been filed. This includes copies of claim forms, correspondence, costs for the institution and amount of unemployment compensation paid.

University Medical Records

IUC-HR-30-01

Files of medical charts for students, 0

Model Retention Schedule

Information
Technology

Record Series	Retention	Retention Rule	IUC Code
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<i>Information Systems</i>	3 CYCLES	ADM9925	IUC-IT-15-01
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Audit Trail Files

Data generated during the creation of a master file or database used to validate a master file or database during a processing cycle.

<i>Information Systems</i>	3 CYCLES	ADM9925	IUC-IT-15-02
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Backup Files

Copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction.

<i>Information Systems</i>	SUP	MIS1010	IUC-IT-30-01
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Computer Run Scheduling Records

Records used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting the successful completion of a run.

<i>Information Systems</i>			IUC-IT-30-02
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Computer Usage

Chargeback Billing Records

Reports and other records from campus computer centers detailing charges for computer services.

Model Retention Schedule

Information
Technology

Record Series

Retention

Retention Rule

IUC Code

Information Systems

IUC-IT-30-04

Computer Usage

Files

Summary

Summary reports created to document computer usage.

Model Retention Schedule

Information
Technology

Record Series	Retention	Retention Rule	IUC Code
<p><i>Information Systems</i></p> <p>Hardware Documentation</p> <p>Records documenting the use, operation, and maintenance of the university's data processing equipment including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.</p>	ACT+3	ADM9920	IUC-IT-10-01
<p><i>Information Systems</i></p> <p>Help Desk Logs and Reports</p> <p>Records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes.</p>	1	MIS1000	IUC-IT-30-05
<p><i>Information Systems</i></p> <p>Information Resources Management and Data Processing Services Plans</p> <p>University IT plans, data processing service plans, strategic plans, and related records used to plan for information systems development, technology acquisitions, data processing services provision, or related areas.</p> <p><i>Review for continuing historical value and potential transfer to Institutional Archives.</i></p>	ACT+3	ADM9920	IUC-IT-00-01
<p><i>Information Systems</i></p> <p>Maintenance Contract Files</p> <p>Records documenting support services provided to specific data processing equipment or installations including site visit reports, program and equipment service reports, service histories, and correspondence and memoranda.</p>	ACT+6	ADM2020	IUC-IT-10-04
<p><i>Information Systems</i></p> <p>Network Usage Reports</p> <p>Summary reports and other records created to document computer usage for reporting or other purposes.</p>	ACT+3	ADM9920	IUC-IT-15-04

Model Retention Schedule

Information
Technology

Record Series	Retention	Retention Rule	IUC Code
<p><i>Information Systems</i></p> <p>Operating Procedures</p> <p>Records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation.</p> <p><i>Review for continuing historical value and potential transfer to Institutional Archives.</i></p>	ACT+3	ADM9920	IUC-IT-10-05
<p><i>Information Systems</i></p> <p>Policies</p> <p>Records of data processing policies including those covering access and security, systems development, data retention and disposition, and data ownership.</p> <p><i>Review for continuing historical value and potential transfer to Institutional Archives.</i></p>	ACT+10	ADM3000	IUC-IT-10-06
<p><i>Information Systems</i></p> <p>Procurement Records</p> <p>Hardware & Software</p> <p>Records used in the procurement of system hardware and software including request for proposals, quotations and bids, benchmark/acceptance testing information, correspondence, duplicate copies of contracts, purchase orders, technical reviews, and vendor information including references and literature on the firm or product line.</p>	ACT+6	ACC2000	IUC-IT-20-01
<p><i>Information Systems</i></p> <p>Procurement Records</p> <p>Services</p> <p>Records created to initiate the purchasing process, authorize and provide funds for, or satisfy claims and expedite payments for private service providers including copies of purchase orders, involve requests, receipts, agency vouchers, service reports, and other supporting documents.</p>	4	ACC1000	IUC-IT-20-02

Model Retention Schedule

Information
Technology

Record Series

Retention

Retention Rule

IUC Code

Information Systems

IUC-IT-10-07

Software Documentation

Copy of program code, program flowcharts, program maintenance log, system change notices, original design documents, specifications requirements, acceptance tests, and other records that document computer

Model Retention Schedule

Legal

Record Series	Retention	Retention Rule	IUC Code
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<i>Contracts</i> General	ACT+5	LEG2000	IUC-LEG-00-01
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<i>Litigation Files</i>	ACT+6	LEG4000	IUC-LEG-20-01
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<i>Patents</i>	ACT+6	LEG7000	IUC-LEG-10-01
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Review for continuing administrative and historical value and potential transfer to institutional Archives.

<i>Public Records Request Files</i>	3	LEG9900	IUC-LEG-30-01
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<i>Trademark Registrations</i>	ACT+6	LEG7000	IUC-LEG-10-02
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Review for continuing administrative and historical value and potential transfer to institutional Archives.

Model Retention Schedule

Plant Operations & Maintenance

Record Series	Retention	Retention Rule	IUC Code
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Plant Operations & Maintenance

LOB+6

ADM2035

IUC-POM-00-01

Blueprints

The As-Built construction drawings.

Review for continuing historical value and potential transfer to institutional Archives.

Plant Operations & Maintenance

ACT+5

LEG2000

IUC-POM-40-01

Child Care Licensing Files

Records related to obtaining Food License, License to Run a Nursery/Day Care, and Building Operations License.

Plant Operations & Maintenance

IUC-POM-00-04

Construction Projects

Construction Designs and Specifications

Written requirements and standards for materials, equipment, construction systems and workmanship as applied to the work and certain administrative details applicable thereto, including: Analysis of site impact and volumetric formation, circulation patterns and infrastructural servicing to illustrate client and architect's design vision in a definitive way; Drawings, Specifications, Addenda, Notice to Bidders, Instructions to Bidders, Definitions, Bid Form, Contract and Attachments, Bond, Bulletins, Shop Drawings, Change

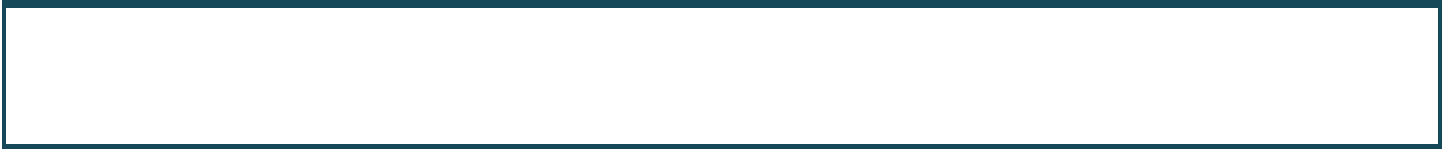
Model Retention Schedule

Record Series

Retention

Retention Rule

IUC Code



Model Retention Schedule

Publicity & Marketing

Record Series	Retention	Retention Rule	IUC Code
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<i>Publicity</i>	5	MAR1000	IUC-PUB-00-01
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Advertising

Review for continuing historical value and potential transfer to institutional Archives.

<i>Publicity</i>	IND	PUB3000	IUC-PUB-00-04
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News Releases

Review for continuing historical value and potential transfer to institutional Archives.

<i>Publicity</i>	IND	PUB3000	IUC-PUB-00-05
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Newsletters

Review for continuing historical value and potential transfer to institutional Archives.

<i>Publicity</i>	IND	PUB3000	IUC-PUB-00-06
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Photographs

Review for continuing historical value and potential transfer to institutional Archives.

<i>Publicity</i>			IUC-PUB-00-02
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Recruitment Materials

Model Retention Schedule

Publicity & Marketing

Record Series

Retention

Retention Rule

IUC Code

Publicity

Viewbooks

Model Retention Schedule

Security & Police

Record Series	Retention	Retention Rule	IUC Code
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<i>Bicycle Registration Forms</i>	1	ADM9900	IUC-SEC-10-01
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Records decal number and issued to bicycle registered.

<i>Dispatch Logs</i>	1	ADM9900	IUC-SEC-00-07
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Records of request for service received by the dispatcher, including phone and radio transmissions and audio logs.

<i>Police Reports</i>			IUC-SEC-00-01
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Model Retention Schedule

Security & Police

Record Series

Retention

Retention Rule

IUC Code

Police Reports

6

LEG5000

IUC-SEC-00-05

Campus Security Act and Uniform Crime

Reports produced in compliance with federal programs.

Review for continuing historical value and potential transfer to institutional Archives.

Police Reports

IUC-SEC-00-06

Crime

Model Retention Schedule

Transportation & Parking	Record Series	Retention	Retention Rule	IUC Code
	<i>Motor Vehicle Records</i>	ACT+6	ADM2020	IUC-TRA-00-01
	Includes title, insurance, and maintenance documentation.			
	<i>Parking</i>	1	ADM9900	IUC-TRA-00-02
	Permit Applications			
	Application for parking permit/decal-non-fee.			
	<i>Parking</i>	4	ACC1000	IUC-TRA-00-03
	Tickets			
	Paid			
	<i>Parking</i>	4	FIN6000	IUC-TRA-00-04
	Tickets			
	Unpaid			